

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: PAUL K. HOUP, ET AL

Group Art Unit:

Serial No.:

Examiner:

Filed:

For METHOD AND APPARATUS FOR  
CONTROLLING A PLURALITY OF  
LOCOMOTIVES

## INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: MAILSTOP PATENT APPLICATION  
US PATENT & TRADEMARK OFFICE  
2011 S. CLARK PLACE  
CRYSTAL PLAZA II, LBY RM 1B03  
ARLINGTON, VA 22202-0001

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

\_\_\_\_\_  
Date of Deposit\_\_\_\_\_  
Type or Print Name\_\_\_\_\_  
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below;
- ☐ 9 <sup>or</sup> The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

24 Sept 03

Date

General Electric Company  
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| FORM PTO-1449<br>(REV. 7-80)  |  |  | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE |  |  | ATTY. DOCKET NO.<br>130486       |  | SERIAL NO. |  |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT<br><u>LIST OF ITEMS</u> |  |  |  |  |  | Applicant<br>PAUL K. HOUP, ET AL |  |            |  |
|   |  |  |  |  |  | Filing Date                      |  | Group      |  |

  

| U.S. PATENT DOCUMENTS |                 |                   |          |                  |          |                               |  |
|-----------------------|-----------------|-------------------|----------|------------------|----------|-------------------------------|--|
| *EXAMINER<br>INITIAL  | DOCUMENT NUMBER | DATE              | NAME     | CLASS            | SUBCLASS | FILING DATE<br>IF APPROPRIATE |  |
|                       | AA              | 4,344,364         | 8/17/82  | NICKLES, ET AL   |          |                               |  |
|                       | AB              | 5,239,472         | 5/24/93  | LONG, ET AL      |          |                               |  |
|                       | AC              | 6,144,901         | 11/7/00  | NICKLES, ET AL   |          |                               |  |
|                       | AD              | 6,263,266         | 7/17/01  | HAWTHORNE        |          |                               |  |
|                       | AE              | 6,332,106         | 12/18/01 | HAWTHORNE, ET AL |          |                               |  |
|                       | AF              | US2001/0029411 A1 | 10/11/01 | HAWTHORNE        |          |                               |  |

  

| FOREIGN PATENT DOCUMENTS |    |                    |         |         |       |          |                            |
|--------------------------|----|--------------------|---------|---------|-------|----------|----------------------------|
|                          |    | DOCUMENT<br>NUMBER | DATE    | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES      NO |
|                          | B1 | WO01/08955 A1      | 2/8/01  | PCT     |       |          |                            |
|                          | B2 | WO01/08956<br>A1   | 2/8/01  | PCT     |       |          |                            |
|                          | B3 | WO 01/08957        | 2/8/01  | PCT     |       |          |                            |
|                          | B4 | WO 01/08958        | 2/8/01  | PCT     |       |          |                            |
|                          | B5 | WO01/08959         | 2/8/01  | PCT     |       |          |                            |
|                          | B6 | WO90/03622         | 4/5/90  | PCT     |       |          |                            |
|                          | B7 | WO99/14093         | 3/25/99 | PCT     |       |          |                            |
|                          | B8 | WO01/20587A<br>2   | 3/22/01 | PCT     |       |          |                            |
|                          | B9 | EP1136969 A2       | 9/26/01 | EPO     |       |          |                            |

  

| OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.) |    |   |
|--|----|---|
|  | C1 | US PATENT APPLICATION, SERIAL NO. 10/177,547 FILED 6/21/02, BY GERALD HESS, JR., ET AL., ENTITLED " CONTROL AND METHOD FOR OPTIMIZING THE OPERATION OF TWO OR MORE LOCOMOTIVES OF A CONSIST", ATTORNEY DOCKET 4069-2. |
|  | C2 | US PATENT APPLICATION, SERIAL NO. 10/429,596, FILED 5/5/03, BY GERALD HESS, JR., T AL., ENTITLED "SYSTEM AND METHOD FOR MANAGING TWO OR MORE LOCOMOTIVES OF A CONSIST", ATTORNEY DOCKET 4069-3.                       |
|  | C3 | "SELECT-A-POWER, A MANUAL FUEL- SAVING SYSTEM FOR SIMPLE, POSITIVE CONTROL", HARMON ELECTRONICS, INC., 8/28/85, 7 PAGES.  |

  

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| EXAMINER | DATE CONSIDERED |
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| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant |
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